



PATENT  
005317-20037 (3138-08 26)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JUL -3 2001

In re application of:

Seiichi MORI

Serial No: 09,456,873

Filed: December 8, 1999

For: NON-VOLATILE SEMICONDUCTOR MEMORY DEVICE

Art Unit: 2826

Examiner: Andujar, L.

TECHNOLOGY CENTER 2800

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Commissioner for Patents  
Washington D.C. 20231, on

June 26, 2001

Date of Deposit

John P. Scherlachner, Reg. No. 23,009

Name

Signature: John P. Scherlachner

Signature

Date

Box NON-FEE AMENDMENT

Commissioner for Patents

Washington, D.C. 20231

Dear Sir:

Transmitted herewith is an amendment in the above-identified application.

- ☐ Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by a verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 C.F.R. 1.9 and 1.27 is enclosed.
- ☐ A Notice Of Change Of Attorney's Address and Associate Power Of Attorney is enclosed.
- ☒ No additional fee is required.

The fee has been calculated as shown below:

	(Col. 1) CLAIMS REMAINING AFTER AMENDMENT		(Col. 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Col. 3) PRESENT EXTRA*	LG/SM \$ ENTITY FEE	ADD'L FEE DUE
TOTAL CLAIMS FEE	18	-	20 **	0	LG=\$18 SM=\$9	\$ 0
INDEPENDENT CLAIMS FEE	5	-	5 ***	0	LG=\$80 SM=\$40	\$ 0
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIMS					LARGE ENTITY FEE = \$270 SMALL ENTITY FEE = \$135	\$ 0
TOTAL						\$ 0

\* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box on Col. 1 of a prior amendment or the number of claims originally filed.

- ☐ A check in the amount of \$\_\_\_ to cover the additional claims fee is enclosed. **A copy of this sheet is enclosed.**
- ☐ A check in the amount of \$\_\_\_ to cover the extension fee is enclosed. **A copy of this sheet is enclosed.**
- ☒ The Commissioner is hereby authorized to charge any deficiencies of fees associated with this communication or credit any overpayment to Deposit Account No. 50-1314. **A copy of this sheet is enclosed.**
  - ☒ Any filing fees under 37 C.F.R. 1.16 for the presentation of extra claims
  - ☒ Any patent application processing fees under 37 C.F.R. 1.17

Respectfully submitted,  
HOGAN & HARTSON L.L.P.

By: John P. Scherlachner  
John P. Scherlachner  
Registration No. 23,009  
Attorney for Applicant(s)

Date: June 26, 2001

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PATENT

005702-20053 (81788-0026)

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Name

Signature Date 6/26/01

AMENDMENT

Box Non-Fee Amendment  
Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In response to the Office Action dated March 28, 2001, please amend the  
above-identified application as follows:

IN THE CLAIMS:

Rewrite claim 1 as follows:

1. A non-volatile semiconductor memory device comprising:
- a semiconductor substrate; and
  - a memory cell having a floating gate provided through a tunnel  
insulating layer on said semiconductor substrate, and a control gate provided  
through an inter-layer insulating layer on said floating gate;
- wherein said inter-insulating layer includes:
- a silicon oxide layer contiguous to said floating gate;